

UNITED STATES DISTRICT COURT
DISTRICT OF MASSACHUSETTS

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CIVIL ACTION NO. 04-40113-FDS
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U.S. DISTRICT COURT
DISTRICT OF MASSACHUSETTS

ELIZABETH R. STEFFENBERG,)
)
Plaintiff,)

(Christine S. Collins BBO#639293)

v.)

T. GENE GILMAN, STEVEN GILMAN,)
THE GILMAN INSURANCE)
AGENCY, INC., DAVID M. SCOLL,)
ARBOR SECURITIES, LTD.,)
ALLIANCE INVESTMENT)
MANAGEMENT, COMMONWEALTH)
FINANCIAL HOLDINGS INC.,)
FINANCIAL LINKS, INC.,)
T. GILMAN & CO., LTD.,)
FIRST ALLIED SECURITIES, INC.,)
PENSON FINANCIAL SERVICES, INC.,)
AVIVA USA CORPORATION,)
TRADETEK, LTD., and)
TRADETEK, LLC,)

Defendants.)

CERTIFICATE PURSUANT TO LOCAL RULE 16.1(D)(3)

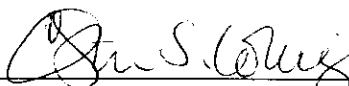
Pursuant to Local Rule 16.1(D) and in compliance with the Court's Order for Scheduling Conference, Plaintiff and her counsel affirm that they have conferred:

- (1) With a view to establishing a budget for the cost of conducting the full course, and various alternative courses, of litigation; and
- (2) To consider the resolution of the litigation through the use of alternative dispute resolution programs, such as those outlined in Local Rule 16.4.

Date: November 18, 2004


ELIZABETH R. STEFFENBERG

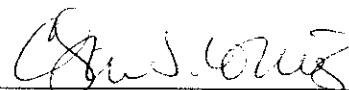
By Her Attorneys,


Louis M. Ciavarra, Esquire (BBO #546481)
Christine S. Collins, Esquire (BBO #639293)
Bowditch & Dewey, LLP
311 Main Street, P.O. Box 15156
Worcester, MA 01615-0156
Phone: (508) 926-3441
Fax: (508) 929-3041

Dated: November 18, 2004

CERTIFICATE OF SERVICE

I, Christine S. Collins, hereby certify that I have this 18th day of November, 2004 served the foregoing by facsimile and by mailing a copy thereof, first class mail, postage prepaid, to counsel of record.


Christine S. Collins